



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re application of:

Clifford J. Weber *et al.*

Appl. No.: 10/753,069

Filed: January 8, 2004

For: SYSTEMS AND METHODS FOR
TRADING ACTIVELY MANAGED
FUNDS

Art Unit: 3624

Examiner: TBA

Confirmation No.: 5428

Atty. Docket: 00322.0008.CPUS01

Date: March 31, 2006

TRANSMITTAL OF INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. §1.56, 1.97 and 1.98

Mail Stop Amendment

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicants submit the following documents for appropriate action by the U.S. Patent and
Trademark Office:

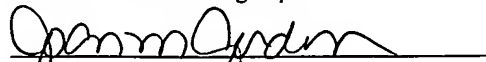
- ☒ Supplemental Information Disclosure Statement under 37 C.F.R. §1.56, 1.97 and 1.98;
- ☒ Form PTO-1449 citing three (3) references, copies of which are provided; and
- ☒ Return postcard.

CERTIFICATE OF MAILING
(37 C.F.R. §1.8a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to *Mail Stop Amendment*, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

March 31, 2006
Date of Deposit

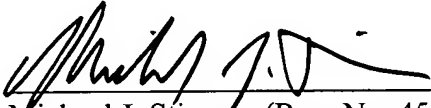
Joan M. Gordon
Name of Person Mailing Paper


Signature of Person Mailing Paper

Applicants believe no fees are due in connection with this transmittal. However, if any fees are in fact due, the Commissioner is hereby authorized to charge our Deposit Account No. **08-3038**. Kindly make reference to Howrey Docket No. **00322.0008.CPUS01** when debiting this account.

Respectfully submitted,

Date: March 31, 2006


Michael J. Stimson (Reg. No. 45,429)

HOWREY SIMON ARNOLD & WHITE, LLP
2941 Fairview Park Drive, Box 7
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Facsimile (571) 273-8300
Telephone (949) 721-6900 (Pacific Coast)



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I am application of:

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR § 1.56, 1.97 AND 1.98

Mail Stop Amendments

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

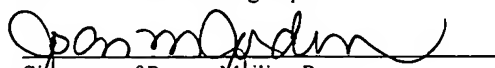
In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Supplemental Information Disclosure Statement be entered and the three (3) documents listed on attached Form PTO-1449 be considered by the Examiner and made of record. Copies of any listed documents required to be provided pursuant to 37 C.F.R. § 1.98(a) are enclosed for the convenience of the Examiner.

CERTIFICATE OF MAILING
(37 C.F.R. § 1.8a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

March 31, 2006
Date of Deposit

Joan M. Gordon
Name of Person Mailing Paper


Signature of Person Mailing Paper

In accordance with 37 C.F.R. §§ 1.97(g),(h), this Supplemental Information Disclosure Statement is not to be construed as a representation that a search has been made, and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

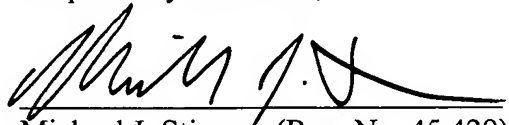
This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits, therefore no statement under 37 C.F.R. § 1.97(e) or fee is required.

It is respectfully requested that the Examiner initial and return a copy of the enclosed Form PTO-1449 and indicate in the official file wrapper of this patent application that the documents have been considered.

Applicant believes no fees are due in connection with this transmittal. However, if any fees are in fact due, the Commissioner is hereby authorized to charge our Deposit Account No. **08-3038**. Kindly make reference to Howrey Docket No. **00322.0008.CPUS01** when debiting this account.

Applicants respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,


Michael J. Stimson (Reg. No. 45,429)

Date: March 31, 2006

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Form PTO-1449 (modified)

Atty. Docket No.:
00322.0008.CPUS01Serial No.:
10/753,069

List of Patents and Publications for Applicant's

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Applicant:
Clifford Weber *et al.*Filing Date:
January 8, 2004Group:
3624U.S. Patent Documents
*See Page 1*Foreign Patent Documents
*See Page 1*Other Art
See Page 1

U.S. Patent Documents (do NOT delete this heading)

U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App.
		2005/0108134 A1	05/19/2005	Harlow et al.	705	36	

Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No

Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	C1	"The Three Types of Factor Models: A Comparison of Their Explanatory Power," Gregory Connor, pp. 1-7.
	C2	"The Arbitrage Pricing Theory and Multifactor Models of Asset Returns," Gregory Connor et al., September 1992, Forthcoming in <i>Finance Handbook</i> , pp. 1-94.

EXAMINER:

DATE CONSIDERED:

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

